

UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

ROMM *et al.*

Appl. No.: 10/645,902

Filed: August 22, 2003

For: **Registry Emulation**

Confirmation No.: 8523

Art Unit: 2124

Examiner: Chavis, John Q.

Atty. Docket: 2193.0020002

**Information Disclosure Statement**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☐ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☒ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.

- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☒ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below in accordance with 37 C.F.R. § 1.98(a)(3).
- ☒ 7. In accordance with 37 C.F.R. § 1.98(a)(2), no copies of U.S. patents and patent application publications cited on the attached Form PTO-1449 are submitted.

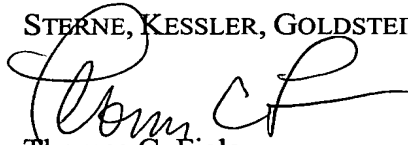
- ☒ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. 09/528,582, filed March 20, 2000, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed Form PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Thomas C. Fiala  
Attorney for Applicants  
Registration No. 43,610

Date: February 16, 2005

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600



FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.

2193.0020002

APPLICATION NO.

10/645,902

FIRST NAMED INVENTOR

Amnon ROMM

FILING DATE

August 22, 2003

ART UNIT

2124

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	5,684,996	11/1997	Westerholm et al.			
	AB1	5,790,809	08/1998	Holmes			
	AC1	5,970,252	10/1999	Buxton et al.			
	AD1	5,980,078	11/1999	Krivoshein et al.			
	AE1	6,189,139 B1	02/2001	Ladd			
	AF1	6,347,398	02/2002	Parthasarathy et al.			
	AG1	6,374,402	04/2002	Schmeidler et al.			
	AH1	6,418,554	07/2002	Delo et al.			
	AI1						
	AJ1						
	AK1						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No

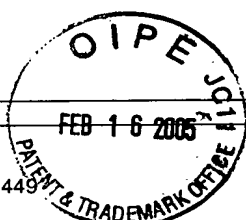
## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	1	Russinovich <i>et al.</i> , "Monitoring Registry Activity During the Boot Process," Sysinternals Freeware - Information for Windows NT and Windows 2000 - Inside I/O Completion Parts, <a href="http://www.sysinternals.com/ntw2k/info/regboot.shtml">http://www.sysinternals.com/ntw2k/info/regboot.shtml</a> , pp. 1-4 (November 2, 1998).
	AS	1	Russinovich, "Improve Performance and Explore Internal Structure," Inside NT Utilities, <a href="http://www.win2000mag.com/Articles/Index.cfm?ArticleID+4795&amp;pg=1">http://www.win2000mag.com/Articles/Index.cfm?ArticleID+4795&amp;pg=1</a> , pp. 1-3 (February 1999).
	AT	1	Russinovich, "Inside NT Utilities," <a href="http://www.win2000mag.com/Articles/Index.cfm?ArticleID=4795&amp;pg=2">http://www.win2000mag.com/Articles/Index.cfm?ArticleID=4795&amp;pg=2</a> , pp. 1-3 (February 1999).

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	AA2						
	AB2						
	AC2						
	AD2						
	AE2						
	AF2						
	AG2						
	AH2						
	AI2						
	AJ2						
	AK2						

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL2						Yes No
	AM2						Yes No
	AN2						Yes No
	AO2						Yes No
	AP2						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	2	Russinovich, "Regmon," Inside NT Utilities, <a href="http://www.win2000mag.com/Articles/Index.cfm?ArticleID=4795&amp;pg=3">http://www.win2000mag.com/Articles/Index.cfm?ArticleID=4795&amp;pg=3</a> , pp. 1-3 (February 1999).
	AS	2	Russinovich, "HandleEx," Inside NT Utilities, <a href="http://www.win2000mag.com/Articles/Index.cfm?ArticleID=4795&amp;pg=4">http://www.win2000mag.com/Articles/Index.cfm?ArticleID=4795&amp;pg=4</a> , pp. 1-3 (February 1999).
	AT	2	Russinovich, "NTFSDOS," Inside NT Utilities, <a href="http://www.win2000mag.com/Articles/Index.cfm?ArticleID=4795&amp;pg=5">http://www.win2000mag.com/Articles/Index.cfm?ArticleID=4795&amp;pg=5</a> , pp. 1-3 (February 1999).

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	AA3						
	AB3						
	AC3						
	AD3						
	AE3						
	AF3						
	AG3						
	AH3						
	AI3						
	AJ3						
	AK3						

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL3						Yes No
	AM3						Yes No
	AN3						Yes No
	AO3						Yes No
	AP3						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	3	Roberts <i>et al.</i> , "DDJ May 1996 - Operating Systems," May 1996 - Operating Systems, <a href="http://www.ddj.com/articles/1996/9605">http://www.ddj.com/articles/1996/9605</a> , pp. 1-4 (May 1996).				
	AS	3	Russinovich <i>et al.</i> , "Examining VxD Service Hooking," May96: Examining VxD Service Hooking," Dr. Dobbs Journal, pp. 1-9 (May 1996).				
	AT	3	Woehr <i>et al.</i> , "DDJ January 1997 - Encryption, Error Correction & Compression," 9701, <a href="http://www.ddj.com/articles/1997/9701">http://www.ddj.com/articles/1997/9701</a> , pp. 1-5 (January 1997).				

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	AA4						
	AB4						
	AC4						
	AD4						
	AE4						
	AF4						
	AG4						
	AH4						
	AI4						
	AJ4						
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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL4						Yes No
	AM4						Yes No
	AN4						Yes No
	AO4						Yes No
	AP4						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>4</u>	Russinovich <i>et al.</i> , "NTRegmon Uses Hooking to Show Detailed Information About Every Registry Access," Dr. Dobbs's Journal January 1997: Windows NT System-Call Hooking, Dr. Dobbs Journal, pp. 1-8 (January 1997).
	AS	<u>4</u>	Russinovich <i>et al.</i> , "Regmon for Windows NT/9x," Sysinternals Freeware - Information for Windows NT and Windows 2000 - Regmon, <a href="http://www.sysinternals.com/ntw2k/info/regmon.shtml">http://www.sysinternals.com/ntw2k/info/regmon.shtml</a> , pp. 1-5 (November 7, 2000) (V. 4.32) (Copyright 1996).
	AT	<u>4</u>	Chen <i>et al.</i> , "Emulating Windows Registry in Unix," BYTE Magazine, <a href="http://www.byte.com/documents/s=22/byt19990729s0001/index.htm">http://www.byte.com/documents/s=22/byt19990729s0001/index.htm</a> , pp. 1-2 (July 29, 1999).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA5						
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	AG5						
	AH5						
	AI5						
	AJ5						
	AK5						

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	AL5						Yes No
	AM5						Yes No
	AN5						Yes No
	AO5						Yes No
	AP5						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AR	<u>5</u>	Chen <i>et al.</i> , "Three Registry Emulation Solutions," BYTE Magazine, <a href="http://www.byte.com/documents/s=22/byt19990729s0001/index2.htm">http://www.byte.com/documents/s=22/byt19990729s0001/index2.htm</a> , pp. 1-2 (July 29, 1999).
	AS	<u>5</u>	Chen <i>et al.</i> , "Multi-Directories Single-File Solution," BYTE Magazine, <a href="http://www.byte.com/documents/s=22/byt19990729s0001/index3.htm">http://www.byte.com/documents/s=22/byt19990729s0001/index3.htm</a> , pp. 1-2 (July 29, 1999).
	AT	<u>5</u>	Chen <i>et al.</i> , "Multi-Directories Multi-Files Solution," BYTE Magazine, <a href="http://www.byte.com/documents/s=22/byt19990729s0001/index4.htm">http://www.byte.com/documents/s=22/byt19990729s0001/index4.htm</a> , pp. 1-2 (July 29, 1999).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA6						
	AB6						
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**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY <sup>2</sup>	CLASS	SUB-CLASS	TRANSLATION
	AL6						Yes No
	AM6						Yes No
	AN6						Yes No
	AO6						Yes No
	AP6						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AR	<u>6</u>	Chen <i>et al.</i> , "Security Considerations of Registry Emulation," BYTE Magazine, <a href="http://www.byte.com/documents/s=22/byt19990729s0001/index5.htm">http://www.byte.com/documents/s=22/byt19990729s0001/index5.htm</a> , pp. 1-2 (July 29, 1999).
	AS	<u>6</u>	"Wine Development HQ," Wine Development HQ - About, <a href="http://www.winehq.com/about.shtml">http://www.winehq.com/about.shtml</a> , pp. 1-4 (printed January 25, 2002).
	AT	<u>6</u>	"Corel's Contributions to the Wine Project," Linux Today - Corel's Contribution to the Wine Project, <a href="http://linuxtoday.com/news_story.php3?1tsn=1999-06-23-05-NW-SM">http://linuxtoday.com/news_story.php3?1tsn=1999-06-23-05-NW-SM</a> , pp. 1-9 (June 23, 1999).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA7						
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**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL7						Yes No
	AM7						Yes No
	AN7						Yes No
	AO7						Yes No
	AP7						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AR	<u>I</u>	"About Wine," The Wine Knowledgebase: About Wine, <a href="http://wine.codeweavers.com/fom-meta/cache/3.html">http://wine.codeweavers.com/fom-meta/cache/3.html</a> , 1 page, (1999-2001).
	AS	<u>I</u>	"What is Wine," The Wine Knowledgebase: What is Wine, <a href="http://wine.codeweavers.com/fom-meta/cache/18.html">http://wine.codeweavers.com/fom-meta/cache/18.html</a> , 1 page, (1999-2001).
	AT	<u>I</u>	"Is Wine an Emulator," The Wine Knowledgebase: Is Wine an Emulator, <a href="http://wine.codeweavers.com/fom-meta/cache/27.html">http://wine.codeweavers.com/fom-meta/cache/27.html</a> , 1 page, (1999-2001).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL8						Yes No
	AM8						Yes No
	AN8						Yes No
	AO8						Yes No
	AP8						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AR	8	"It Calls Native Libraries...not an Emulated Environment," The Wine Knowledgebase: It calls Native libraries...not an Emulated Environment, <a href="http://wine.codeweavers.com/fom-meta/cache/325.html">http://wine.codeweavers.com/fom-meta/cache/325.html</a> , 1 page, (1999-2001).				
	AS	8	Anonymous. "Device and Method for Monitoring Computer," <i>Research Disclosure</i> , Vol.42, No. 421, May 1, 1999, 1 page.				
	AT	8	Vogels et al. "The design and architecture of the Microsoft Cluster Service-a practical approach to high-availability and scalability," <i>IEEE Comput. Soc.</i> , June 23-25, 1998, pp. 422-431.				

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	AA9						
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL9						Yes
							No
	AM9						Yes
							No
	AN9						Yes
							No
	AO9						Yes
							No
	AP9						Yes
							No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AR	<u>9</u>	Catron et al. "Generic manufacturing controllers," <i>IEEE Comput. Soc.</i> , August 24, 1988, pp. 742-744.
	AS	<u>9</u>	Patent Cooperation Treaty, International Search Report, International Application No. PCT/US 01/07397, mailed on June 28, 2002, 8 pages.
	AT	<u>9</u>	

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